

CIS 500

Software Foundations

Fall 2004

27 September

Announcements

- ◆ Homework 1 is graded.
- ◆ Pick it up from Cheryl Hickey (Levine 502).
- ◆ We paid careful attention to problems 2 and 4.
- ◆ Solutions to all problems are on the web page.
- ◆ If you have questions or can't read the comments see the TAs during their office hours.
- ◆ Homework 2 was due at noon.
- ◆ Homework 3 is on the web page.
- ◆ Should be already reading TAPL chapter 5.

The Lambda Calculus

The lambda-calculus

- ◆ If our previous language of arithmetic expressions was the simplest nontrivial programming language, then the lambda-calculus is the simplest **interesting** programming language...
 - ◆ Turing complete
 - ◆ higher order (functions as data)
 - ◆ main new feature: variable binding and lexical scope
- ◆ The e. coli of programming language research
- ◆ The foundation of many real-world programming language designs (including ML, Haskell, Scheme, Lisp, ...)

Intuitions

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On this view, plus3 (succ 0) is just a convenient shorthand for “the function that, given x , yields succ (succ (succ x)), applied to succ 0.”

$$\text{plus3 (succ 0)} = (\lambda x. \text{succ (succ (succ } x)) \text{ (succ 0)})$$

Essentials

We have introduced two primitive syntactic forms:

◆ **abstraction** of a term t on some subterm x :

$$\lambda x. t$$

“The function that, when applied to a value v , yields t with v in place of x .”

◆ **application** of a function to an argument:

$$t_1 t_2$$

“the function t_1 applied to the argument t_2 ”

cf. anonymous functions “ $\text{fun } x \rightarrow t$ ” in OCaml.

Abstractions over Functions

Consider the λ -abstraction

$$g = \lambda f. f (f (succ 0))$$

Note that the parameter variable f is used in the **function** position in the body of g . Terms like g are called **higher-order** functions.

If we apply g to an argument like `plus3`, the “substitution rule” yields a nontrivial computation:

$$g \text{ plus3} = (\lambda f. f (f (succ 0))) (\lambda x. succ (succ (succ x)))$$

$$\text{i.e. } (\lambda x. succ (succ (succ x)))$$

$$\text{i.e. } ((\lambda x. succ (succ (succ x))) (succ 0))$$

$$\text{i.e. } (\lambda x. succ (succ (succ x)))$$

$$(succ (succ (succ 0)))$$

$$\text{i.e. } succ (succ (succ (succ (succ (succ 0))))))$$

Abstractions Returning Functions

Consider the following variant of g :

$$\text{double} = \lambda f. \lambda y. f (f y)$$

I.e., **double** is the function that, when applied to a function f , yields a **function** that, when applied to an argument y , yields $f (f y)$.

```

double plus3 0
=
( $\lambda f. \lambda y. f (f y)$ )
( $\lambda x. succ (succ (succ x))$ )
0
i.e. ( $\lambda y. (\lambda x. succ (succ (succ x)))$ )
0
0
i.e. ( $\lambda x. succ (succ (succ x))$ )
0
i.e. ( $(\lambda x. succ (succ (succ x)))$ ) 0
i.e. ( $\lambda x. succ (succ (succ (succ (succ (succ 0))))$ )

```

Example

The Pure Lambda-Calculus

As the preceding examples suggest, once we have λ -abstraction and application, we can throw away all the other language primitives and still have left a rich and powerful programming language.

In this language — the “pure lambda-calculus” — **everything** is a function.

- ◆ Variables always denote functions
- ◆ Functions always take other functions as parameters
- ◆ The result of a function is always a function

Formalities

Terminology:

- ◆ terms in the pure λ -calculus are often called λ -terms
- ◆ terms of the form $\lambda x. t$ are called λ -abstractions or just abstractions

t	$::=$	x	$\lambda x. t$	$t \ t$
terms		variable	abstraction	application

Syntax

Syntactic conventions

Since λ -calculus provides only one-argument functions, all multi-argument functions must be written in curried style.

The following conventions make the linear forms of terms easier to read and write:

◆ Application associates to the left

E.g., $t\ u\ v$ means $(t\ u)\ v$, not $t\ (u\ v)$

◆ Bodies of λ -abstractions extend as far to the right as possible

E.g., $\lambda x. \lambda y. x\ y$ means $\lambda x. (\lambda y. x\ y)$, not $\lambda x. (\lambda y. x)\ y$

Scope

The λ -abstraction term $\lambda x. t$ binds the variable x .

The **scope** of this binding is the **body** t .

Occurrences of x inside t are said to be **bound** by the abstraction.

Occurrences of x that are **not** within the scope of an abstraction binding x are said to be **free**.

$\lambda x. \lambda y. x y z$

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$\lambda x. \lambda y. x y z$
 $\lambda x. (\lambda y. z y) y$

Structural induction

What is the structural induction principle for lambda calculus terms?

Values

$v ::=$

$\lambda x.t$

values

abstraction value

Operational Semantics

Computation rule:

$$(\lambda x.t_{12}) v_2 \longrightarrow [x \mapsto v_2]t_{12} \quad (\text{E-APPABS})$$

Notation: $[x \mapsto v_2]t_{12}$ is “the term that results from substituting free occurrences of x in t_{12} with v_2 .”

Operational Semantics

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Congruence rules:

$$\frac{t_1 \longrightarrow t'_1}{t_1 t_2 \longrightarrow t'_1 t_2}$$

(E-APP1)

$$\frac{v_1 t_2 \longrightarrow v_1 t'_2}{v_1 t_2 \longrightarrow v_1 t'_2}$$

(E-APP2)

Terminology

A term of the form $(\lambda x.t) v$ — that is, a λ -abstraction applied to a **value** — is called a **redex** (short for “reducible expression”).

Induction principle

What is the induction principle for the small-step evaluation relation?

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We can show a property P is true for all derivations of $t \mapsto t'$, when

◆ P holds for all derivations that use the rule E-AppAbs.

◆ P holds for all derivations that end with a use of E-App1 assuming that P holds for all subderivations.

◆ P holds for all derivations that end with a use of E-App2 assuming that P holds for all subderivations.

Alternative evaluation strategies

Strictly speaking, the language we have defined is called the **pure, call-by-value lambda-calculus**.

The evaluation strategy we have chosen — **call by value** — reflects standard conventions found in most mainstream languages.

Some other common ones:

- ◆ Call by name (cf. Haskell)
- ◆ Normal order (leftmost/outermost)
- ◆ Full (non-deterministic) beta-reduction

Programming in the Lambda-Calculus

Multiple arguments

Above, we wrote a function `double` that returns a function as an argument.

$$\text{double} = \lambda f. \lambda y. f (f y)$$

This idiom — a λ -abstraction that does nothing but immediately yield another abstraction — is very common in the λ -calculus.

In general, $\lambda x. \lambda y. t$ is a function that, given a value v for x , yields a function that, given a value u for y , yields t with v in place of x and u in place of y .

That is, $\lambda x. \lambda y. t$ is a two-argument function.

(This is how two argument functions work in OCaml.)

The “Church Booleans”

$\text{tru} = \lambda t. \lambda f. t$
 $\text{fls} = \lambda t. \lambda f. f$

$\text{tru } v \ w$	=	$\frac{(\lambda t. \lambda f. t) \ v}{w}$	→	$(\lambda f. v) \ w$	→	$\frac{(\lambda f. v) \ w}{w}$	→	w
by definition								
reducing the underlined redex								
reducing the underlined redex								

$\text{fls } v \ w$	=	$\frac{(\lambda t. \lambda f. f) \ v}{w}$	→	$(\lambda f. f) \ w$	→	$\frac{(\lambda f. f) \ w}{w}$	→	w
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Functions on Booleans

`not = λb. b fls tru`

That is, `not` is a function that, given a boolean value `v`, returns `fls` if `v` is `tru` and `tru` if `v` is `fls`.

Functions on Booleans

`and = λb. λc. b c fls`

That is, `and` is a function that, given two boolean values `v` and `w`, returns `w` if `v` is `tru` and `fls` if `v` is `fls`

Thus `and v w` yields `tru` if both `v` and `w` are `tru` and `fls` if either `v` or `w` is `fls`.

Pairs

```
pair =  $\lambda f. \lambda s. \lambda b. b \ f \ s$   
fst =  $\lambda p. p \ \text{tru}$   
snd =  $\lambda p. p \ \text{fls}$ 
```

That is, `pair v w` is a function that, when applied to a boolean value `b`, applies `b` to `v` and `w`.

By the definition of booleans, this application yields `v` if `b` is `tru` and `w` if `b` is `fls`, so the first and second projection functions `fst` and `snd` can be implemented simply by supplying the appropriate boolean.

Example

$$\begin{array}{l}
 \text{fst (pair v w)} \\
 = \\
 \text{fst } ((\lambda f. \lambda s. \lambda b. b \text{ f } s) \text{ v } w) \\
 \text{fst } ((\lambda s. \lambda b. b \text{ v } s) w) \\
 \text{fst } (\lambda b. b \text{ v } w) \\
 = \\
 \text{fst } (\lambda p. p \text{ tru}) (\lambda b. b \text{ v } w) \\
 = \\
 \text{fst } (\lambda b. b \text{ v } w) \text{ tru} \\
 \text{tru v w} \\
 \leftarrow * \\
 v
 \end{array}$$

as before.

Church numerals

Idea: represent the number n by a function that “repeats some action n times.”

$$c_0 = \lambda s. \lambda z. z$$

$$c_1 = \lambda s. \lambda z. s z$$

$$c_2 = \lambda s. \lambda z. s (s z)$$

$$c_3 = \lambda s. \lambda z. s (s (s z))$$

That is, each number n is represented by a term c_n that takes two arguments, s and z (for “successor” and “zero”), and applies s , n times, to z .

Functions on Church Numerals

Successor:

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$SCC = \lambda n. \lambda s. \lambda z. s (n s z)$

Functions on Church Numerals

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$$scc = \lambda n. \lambda s. \lambda z. s (n s z)$$

Addition:

Functions on Church Numerals

Successor:

$\text{succ} = \lambda n. \lambda s. \lambda z. s (n s z)$

Addition:

$\text{plus} = \lambda m. \lambda n. \lambda s. \lambda z. m s (n s z)$

Functions on Church Numerals

Successor:

$\text{succ} = \lambda n. \lambda s. \lambda z. s (n s z)$

Addition:

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Multiplication:

Functions on Church Numerals

Successor:

`scc = λn. λs. λz. s (n s z)`

Addition:

`plus = λm. λn. λs. λz. m s (n s z)`

Multiplication:

`times = λm. λn. m (plus n) c0`

Functions on Church Numerals

Successor:

```
scc = λn. λs. λz. s (n s z)
```

Addition:

```
plus = λm. λn. λs. λz. m s (n s z)
```

Multiplication:

```
times = λm. λn. m (plus n) c0
```

Zero test:

Functions on Church Numerals

Successor:

```
scc = λn. λs. λz. s (n s z)
```

Addition:

```
plus = λm. λn. λs. λz. m s (n s z)
```

Multiplication:

```
times = λm. λn. m (plus n) c0
```

Zero test:

```
iszero = λm. m (λx. fls) tru
```

Functions on Church Numerals

Successor:

$$succ = \lambda n. \lambda s. \lambda z. s (n s z)$$

Addition:

$$plus = \lambda m. \lambda n. \lambda s. \lambda z. m s (n s z)$$

Multiplication:

$$times = \lambda m. \lambda n. m (plus n) c_0$$

Zero test:

$$iszero = \lambda m. m (\lambda x. fls) tru$$

What about predecessor?

Predecessor

```
zz = pair c0 c0
```

```
ss = \p. pair (snd p) (sc (snd p))
```

Predecessor

```
zz = pair c0 c0
```

```
ss =  $\lambda$ p. pair (snd p) (scc (snd p))
```

```
prd =  $\lambda$ m. fst (m ss zz)
```

Normal forms

Recall:

- ◆ A **normal form** is a term that cannot take an evaluation step.
 - ◆ A **stuck** term is a normal form that is not a value.
- Are there any stuck terms in the pure λ -calculus?

Prove it.

Normal forms

Recall:

- ◆ A **normal form** is a term that cannot take an evaluation step.
- ◆ A **stuck** term is a normal form that is not a value.

Are there any stuck terms in the pure λ -calculus?

Prove it.

Does every term evaluate to a normal form?

Prove it.

Divergence

$$\text{omega} = (\lambda x. x x) (\lambda x. x x)$$

Note that **omega** evaluates in one step to itself!

So evaluation of **omega** never reaches a normal form: it **diverges**.

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So evaluation of **omega** never reaches a normal form: it **diverges**.

Being able to write a divergent computation does not seem very useful in itself. However, there are variants of **omega** that are **very** useful...

Recursion in the Lambda Calculus

Iterated Application

Suppose f is some λ -abstraction, and consider the following term:

$$Y_f = (\lambda x. f (x x)) (\lambda x. f (x x))$$

$$\begin{aligned}
 & \dots \\
 & \longleftarrow \\
 & \overline{f (f (f (\lambda x. f (x x)) (\lambda x. f (x x))))} \\
 & \longleftarrow \\
 & \overline{f (f (\lambda x. f (x x)) (\lambda x. f (x x)))} \\
 & \longleftarrow \\
 & \overline{f ((\lambda x. f (x x)) (\lambda x. f (x x)))} \\
 & \longleftarrow \\
 & \overline{(\lambda x. f (x x)) (\lambda x. f (x x))} \\
 & = \\
 & Y_f
 \end{aligned}$$

Now the “pattern of divergence” becomes more interesting:

$$Y_f = (\lambda x. f (x x)) (\lambda x. f (x x))$$

Suppose f is some λ -abstraction, and consider the following term:

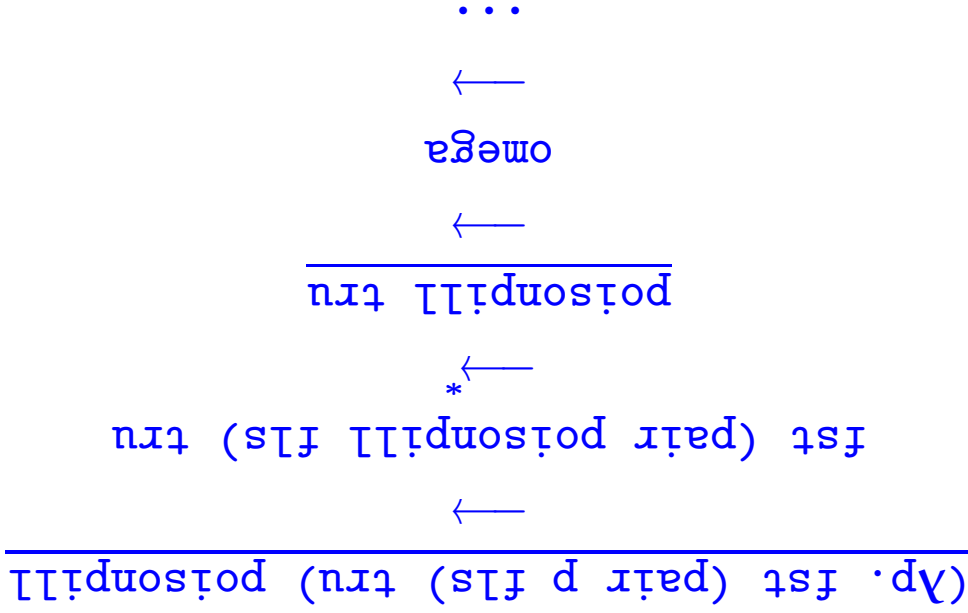
Iterated Application

Y_t is still not very useful, since (like **omega**), all it does is diverge. Is there any way we could “slow it down”?

Delaying Divergence

$$\text{poisonpill} = \lambda y. \text{omega}$$

Note that `poisonpill` is a value — it will only diverge when we actually apply it to an argument. This means that we can safely pass it as an argument to other functions, return it as a result from functions, etc.



A delayed variant of omega

Here is a variant of **omega** in which the delay and divergence are a bit more tightly intertwined:

$$\text{omega} = \lambda y. (\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) y$$

Note that **omega** is a normal form. However, if we apply it to any argument **v**, it diverges:

$$\begin{aligned} & \text{omega } v \\ &= (\lambda y. (\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) y) v \\ &\quad \leftarrow \\ & \frac{(\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) v}{\leftarrow} \\ & \frac{(\lambda y. (\lambda x. (\lambda y. x x y)) (\lambda x. (\lambda y. x x y)) y) v}{=} \\ & \text{omega } v \end{aligned}$$

Another delayed variant

Suppose f is a function. Define

$$Z_f = \lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y)) y$$

This term combines the “added f ” from Y_f with the “delayed divergence” of omega .

If we now apply Z_f to an argument v , something interesting happens:

$$\begin{aligned}
 & Z_f v \\
 = & (\lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y))) v \\
 \leftarrow & \frac{}{(\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y))} v \\
 \leftarrow & f (\lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y))) v \\
 = & f Z_f v
 \end{aligned}$$

Since Z_f and v are both values, the next computation step will be the reduction of $f Z_f$ — that is, before we “diverge,” f gets to do some computation. Now we are getting somewhere.

Recursion

Let

$$f = \lambda n. \text{ if } n=0 \text{ then } 1 \text{ else } n * (fct \text{ (pred } n))$$

f looks just the ordinary factorial function, except that, in place of a recursive call in the last time, it calls the function fct , which is passed as a parameter.

N.b.: for brevity, this example uses “real” numbers and booleans, infix syntax, etc. It can easily be translated into the pure lambda-calculus (using Church numerals, etc.).

factorial function:

$$\begin{aligned}
 & \text{Zf } 3 \\
 & \quad \leftarrow * \\
 & \text{f Zf } 3 \\
 & = \\
 & (\lambda \text{fct. } \lambda n. \dots) \text{ Zf } 3 \\
 & \quad \leftarrow \quad \leftarrow \\
 & \text{if } 3=0 \text{ then } 1 \text{ else } 3 * (\text{Zf } (\text{pred } 3)) \\
 & \quad \leftarrow * \\
 & 3 * (\text{Zf } (\text{pred } 3)) \\
 & \quad \leftarrow \\
 & 3 * (\text{Zf } 2) \\
 & \quad \leftarrow * \\
 & 3 * (\text{f Zf } 2) \\
 & \quad \dots
 \end{aligned}$$

We can use **Z** to “tie the knot” in the definition of **f** and obtain a real recursive

A Generic Z

If we define

$$Z = \lambda f. Z_f$$

i.e.,

$$Z = \lambda f. \lambda y. \lambda x. f (\lambda x. f (\lambda y. x x y)) y$$

then we can obtain the behavior of Z_f for any f we like, simply by applying Z

to f .

$$Z_f \longleftarrow Z f$$

For example:

```
fact = Z ( λfct.  
          if n=0 then 1  
          else n * (fct (pred n)) )
```

Technical note:

The term Z here is essentially the same as the `fix` discussed in the book.

$$Z = \lambda f. \lambda y. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y)) y$$
$$\text{fix} = \lambda f. (\lambda x. f (\lambda y. x x y)) (\lambda x. f (\lambda y. x x y))$$

Z is hopefully slightly easier to understand, since it has the property that $Z f v \rightarrow^* f (Z f) v$, which `fix` does not (quite) share.

Induction in the Lambda Calculus

Two induction principles

Like before, there are two ways to prove properties are true of the untyped lambda calculus.

- ◆ Structural induction
- ◆ Induction on derivation of $t \rightarrow t'$.

Let's do an example of the latter.

Induction principle

- Recall the induction principle for the small-step evaluation relation.
- We can show a property P is true for all derivations of $t \mapsto t'$, when
- ◆ P holds for all derivations that use the rule E-AppAbs.
 - ◆ P holds for all derivations that end with a use of E-App1 assuming that P holds for all subderivations.
 - ◆ P holds for all derivations that end with a use of E-App2 assuming that P holds for all subderivations.

Free variables, formally

$$FV(x) = \{x\}$$

$$FV(\lambda x. t_1) = FV(t_1) \setminus \{x\}$$

$$FV(t_1 \ t_2) = FV(t_1) \cup FV(t_2)$$

Show that if $t \rightarrow t'$ then $FV(t) \supseteq FV(t')$.

Induction on derivation

We want to prove, for all derivations of $t \mapsto t'$, that $FV(t) \supseteq FV(t')$.
We have three cases.

Induction on derivation

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- ◆ The derivation of $t \mapsto t'$ could just be a use of E-AppAbs. In this case, t is $(\lambda x.t')v$ which steps to $[x \mapsto v]t'$.

$$FV(t) = FV(t') / \{x\} \cup FV(v) \\ \supseteq FV([x \mapsto v]t')$$

Induction on derivation

We want to prove, for all derivations of $t \rightarrow t'$, that $FV(t) \subseteq FV(t')$.

We have three cases.

- ◆ The derivation of $t \rightarrow t'$ could just be a use of E-AppAbs. In this case, t is $(\lambda x.t')v$ which steps to $[x \mapsto v]t'$.

$$FV(t) = FV(t') / \{x\} \cup FV(v)$$

$$\subseteq FV([x \mapsto v]t')$$

- ◆ The derivation could end with a use of E-App1. In other words, we have a derivation of $t_1 \rightarrow t'_1$ and we use it to show that $t_1 t_2 \rightarrow t'_1 t_2$.
By induction $FV(t_1) \subseteq FV(t'_1)$.

$$FV(t_1 t_2) = FV(t_1) \cup FV(t_2)$$

$$\subseteq FV(t'_1) \cup FV(t_2)$$

$$= FV(t'_1 t_2)$$

- ◆ The derivation could end with a use of E-App2. Here, we have a derivation of $t_2 \rightarrow t_2'$ and we use it to show that $t_1 t_2 \rightarrow t_1 t_2'$. This case is analogous to the previous case.

- ◆ The derivation could end with a use of E-App2. Here, we have a derivation of $t_2 \rightarrow t_2'$ and we use it to show that $t_1 t_2 \rightarrow t_1 t_2'$. This case is analogous to the previous case.

- ◆ The derivation could end with a use of E-App2. Here, we have a derivation of $t_2 \rightarrow t_2'$ and we use it to show that $t_1 \ t_2 \rightarrow t_1 \ t_2'$. This case is analogous to the previous case.